

10/17/01

JC904 U.S. PTO

10-18-01

Please type a plus sign (+) inside this box ☐ +PTO/SB/05 (03-01)  
Approved for use through 10/31/2002. OMB 0651-0032U S Patent and Trademark Office, U S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control numberUTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1. 53(b))

Attorney Docket No. A01123

First Inventor Fanwen Zeng

Title Process for Preparing Impact Modifier Powders

Express Mail Label No. EF385423306US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 38]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ]
5. Oath or Declaration [Total Pages 4]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. ....

Prior application information

Examiner .....

Group Art Unit, .....

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Labelor ☐ Correspondence address below

Name

21898

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Stephen T. Falk

Registration No. (Attorney/Agent)

36,795

Signature

Date

10/16/01

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on  
the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC  
20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO Assistant Commissioner for Patents, Box Patent Application,  
Washington, DC 20231

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Docket No. A01123  
JHR/ams

In re application of:  
Fanwen Zeng, et al.

:

Serial No: Not Yet Assigned

:

Group Art Unit: Not Yet Assigned

Filed: Herewith

:

Examiner: Not Yet Assigned

For: Process for Preparing Impact Modifier Powders

Assistant Commissioner for Patents  
BOX: PATENT APPLICATION  
Washington, DC 20231

**CERTIFICATE OF EXPRESS MAILING**

Sir:

I hereby certify that the following correspondence is being deposited with the U.S. Postal Service as Express Mail with the U.S. Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on the date indicated next to my signature below:

Utility Patent Application Transmittal  
Fee Transmittal (in duplicate)  
Non-Provisional Patent Application  
Preliminary Amendment and Priority Request  
Return Receipt Postcard

October 17, 2001

Date

Angela M. Sobocinski

Signature

U.S. Postal Service Express Mail Label No. EF385423306US

10/17/01 10:00 AM

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision

## Complete if Known

|                      |                  |
|----------------------|------------------|
| Application Number   |                  |
| Filing Date          | Herewith         |
| First Named Inventor | Fanwen Zeng      |
| Examiner Name        | Not Yet Assigned |
| Group Art Unit       | Not Yet Assigned |
| Attorney Docket No.  | A01123           |

TOTAL AMOUNT OF PAYMENT (\$ 740

## METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit Account Number 18-1850

Deposit Account Name Rohm and Haas Company

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code (\$) | Fee Code (\$) | Fee Description        | Fee Paid |
|--------------|--------------|---------------|---------------|------------------------|----------|
| 101          | 740          | 201           | 370           | Utility filing fee     | 740      |
| 106          | 330          | 206           | 165           | Design filing fee      |          |
| 107          | 510          | 207           | 255           | Plant filing fee       |          |
| 108          | 740          | 208           | 370           | Reissue filing fee     |          |
| 114          | 160          | 214           | 80            | Provisional filing fee |          |

SUBTOTAL (1) (\$ 740

## 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 10                 | -20** = 0    | 0              | 0        |
| 1                  | -3* = 0      | 0              | 0        |
| Multiple Dependent |              | 0              | 0        |

| Large Entity | Small Entity | Fee Code (\$) | Fee Code (\$) | Fee Description  |
|--------------|--------------|---------------|---------------|--|
| 103          | 18           | 203           | 9             | Claims in excess of 20                                     |
| 102          | 84           | 202           | 42            | Independent claims in excess of 3                          |
| 104          | 280          | 204           | 140           | Multiple dependent claim, if not paid                      |
| 109          | 84           | 209           | 42            | ** Reissue independent claims over original patent         |
| 110          | 18           | 210           | 9             | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Code (\$) | Fee Code (\$) | Fee Description  | Fee Paid |
|--------------|--------------|---------------|---------------|--|----------|
| 105          | 130          | 205           | 65            | Surcharge - late filing fee or oath  |          |
| 127          | 50           | 227           | 25            | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139          | 130          | 139           | 130           | Non-English specification  |          |
| 147          | 2,520        | 147           | 2,520         | For filing a request for ex parte reexamination                            |          |
| 112          | 920*         | 112           | 920*          | Requesting publication of SIR prior to Examiner action                     |          |
| 113          | 1,840*       | 113           | 1,840*        | Requesting publication of SIR after Examiner action                        |          |
| 115          | 110          | 215           | 55            | Extension for reply within first month                                     |          |
| 116          | 400          | 216           | 200           | Extension for reply within second month                                    |          |
| 117          | 920          | 217           | 460           | Extension for reply within third month                                     |          |
| 118          | 1,440        | 218           | 720           | Extension for reply within fourth month                                    |          |
| 128          | 1,960        | 228           | 980           | Extension for reply within fifth month                                     |          |
| 119          | 320          | 219           | 160           | Notice of Appeal   |          |
| 120          | 320          | 220           | 160           | Filing a brief in support of an appeal                                     |          |
| 121          | 280          | 221           | 140           | Request for oral hearing   |          |
| 138          | 1,510        | 138           | 1,510         | Petition to institute a public use proceeding                              |          |
| 140          | 110          | 240           | 55            | Petition to revive - unavoidable   |          |
| 141          | 1,280        | 241           | 640           | Petition to revive - unintentional   |          |
| 142          | 1,280        | 242           | 640           | Utility issue fee (or reissue)   |          |
| 143          | 460          | 243           | 230           | Design issue fee   |          |
| 144          | 620          | 244           | 310           | Plant issue fee  |          |
| 122          | 130          | 122           | 130           | Petitions to the Commissioner  |          |
| 123          | 50           | 123           | 50            | Processing fee under 37 CFR 1.1 7(q)                                       |          |
| 126          | 180          | 126           | 180           | Submission of Information Disclosure Stmt                                  |          |
| 581          | 40           | 581           | 40            | Recording each patent assignment per property (times number of properties) |          |
| 146          | 740          | 246           | 370           | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149          | 740          | 249           | 370           | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179          | 740          | 279           | 370           | Request for Continued Examination (RCE)                                    |          |
| 169          | 900          | 169           | 900           | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0

## SUBMITTED BY

Name (Print/Type)

Stephen T. Falk

Registration No  
(Attorney/Agent)

36,795

## Complete (if applicable)

Telephone

(215)-592-6745

Signature

Date

12/16/01

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**Burden Hour Statement** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office Washington, DC 20503.